

Rec'd PCT/PTO 16 MAY 2005

PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

REC'D 22 NOV 2004

WIPO



PCT

Applicant's or agent's file reference CH920020044	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/PEA/416)	
International application No. PCT/IB 03/04800	International filing date (day/month/year) 28.10.2003	Priority date (day/month/year) 15.11.2002
International Patent Classification (IPC) or both national classification and IPC H04L29/08		
Applicant INTERNATIONAL BUSINESS MACHINES CORPORATION et al.		

- This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
- This REPORT consists of a total of 5 sheets, including this cover sheet.  
  
☒ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).  
  
 These annexes consist of a total of 5 sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the opinion
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand  10.06.2004	Date of completion of this report  19.11.2004
Name and mailing address of the international preliminary examining authority:   European Patent Office - P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Tx: 31 651 epo nl Fax: +31 70 340 - 3016	Authorized Officer  Hes, R  Telephone No. +31 70 340-3879  

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/B 03/04800**

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-24 as originally filed

**Claims, Numbers**

1-32 filed with telefax on 19.09.2004

**Drawings, Sheets**

1/9-9/9 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No.

**PCT/IB 03/04800**

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes: Claims	1-32
	No: Claims	
Inventive step (IS)	Yes: Claims	1-32
	No: Claims	
Industrial applicability (IA)	Yes: Claims	1-32
	No: Claims	

2. Citations and explanations

**see separate sheet**

**Re Item V**

**Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1 Reference is made to the following document:

D1: US 2002/107982 A1 (BJORNER NIKOLAJ S ET AL) 8 August 2002 (2002-08-08)

The document **D1** is regarded being the closest prior art to the subject-matter of claim 1, and discloses (the references in parentheses applying to this document) in terms of claim 1:

Network traffic control unit, comprising, a filter unit for intercepting messages, relating to peer to peer application (section 75 and 85), from a network line (Fig. 1, number 125, section 39 and section 125) , irrespective of destination (section 72),

a control logic that is configured for managing a request represented by an intercepted message subject to its content (section 77), and

subject to peering specific knowledge the network traffic control unit provides (section 78).

The subject-matter of claim 1 differs from this known traffic control unit in that:

the request to be managed is a connect request issued from a peer node and directed to another peer node

The subject-matter of claim 1 is therefore new (Article 33(2) PCT).

The problem to be solved by the present invention may be regarded as how to avoid a flood of peer-to-peer messages (description, page 9, lines 5-6).

The problem is solved by a network traffic control unit managing peer-to-peer connect requests.

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

---

International application No. PCT/IB 03/04800

The solution proposed in claim 1 of the present application is considered as involving an inventive step (Article 33(3) PCT) because neither the feature of managing connect requests nor the abovementioned problem are disclosed or hinted at in the available prior art.

- 2 Claims 2-10 are dependent on claim 1 and as such also meet the requirements of the PCT with respect to novelty and inventive step.
- 3 independent claims 11, 31 and 32 represent the subject-matter of claim 1 in terms of a method, network and computer program element respectively, and therefore also meet the requirements of the PCT with respect to novelty and inventive step.
- 3.1 Claims 12-30 are dependent on claim 11 and as such also meet the requirements of the PCT with respect to novelty and inventive step.